

Project Initiation Documents

Prevent Delays, Cost Overruns

In its annual report to the Legislature, the Project Initiation Document Program showed a \$3 billion gap between initial cost predictions for hundreds of highway projects and the more detailed estimates that result from its analyses.

That difference was discovered as Caltrans put more than 480 projects in fiscal year 2014-15 through a rigorous process designed to give them a more predictable path through the planning process into project programming and delivery.

These project initiation documents (PIDs) provide engineering details that document the scope, cost and schedule of a project for programming transportation funds. PIDs are essential to successful project delivery because they optimize transportation funds by ensuring only feasible projects move forward into capital project development.

According to the Project Initiation Document Program Report for fiscal year 2014-15, Caltrans delivered 526 PIDs at a cost of \$51.5 million. Of those, 482 PIDs were

for projects that will be funded through the State Highway Operation Protection Program (SHOPP) and 44 for state-sponsored and local-sponsored projects for the State Transportation Improvement Program (STIP) and other non-SHOPP funding sources

Prior to PID development, total capital project costs for the 482 PIDs were estimated at \$3.41 billion. The total project costs identified in the completed PIDs were estimated at \$6.48 billion, as noted in the table below. These differences validate the importance of PIDs. The consequences of moving forward with these planned projects without a PID or reliable scope, schedule and cost estimates would be potential scope changes, schedule delays and project overruns, ultimately leading to projects being delayed or removed from the SHOPP.

The most notable innovation since the last report is the pilot project to improve SHOPP PIDs. In FY 2013-14, the concept for the Project Initiation Report was developed to create more consistency and autonomous decision-making in the process to develop SHOPP PIDs.

Completed SHOPP PIDs, by Program (FY 2014-15)

SHOPP Program	PIDs Completed in FY 2014-15	Estimated Total Project Cost at Pre-PID (in millions)	Total Cost for Programming in Completed PID (in millions)
Bridge	80	\$499	\$1,417
Collision Reduction	141	\$631	\$1,021
Mandates	55	\$286	\$402
Mobility	35	\$219	\$356
Roadway/Roadside	132	\$1,600	\$3,085
Emergency	36	\$146	\$171
Facilities	3	\$25	\$23
Total	482	\$3,406	\$6,475

For details, visit http://www.dot.ca.gov/docs/2016_Project_Initiation_Document.pdf.